Broadridge

Manage Compensation to Attract and Retain Top-performing Advisors

DESIGNED EXCUSIVELY FOR BROKER-DEALERS AND WEALTH MANAGEMENT FIRMS

- Streamline compensation and incentive management using your rules, automated straight-through processing and reconciliation of industry feeds
- Help your advisors increase sales by providing a 360-degree view of client assets through a single portal
- Simplify account opening and client onboarding
- Optimize your essential planning—generating ad hoc and custom reports from a host of business data
- Step up to ever-changing regulatory requirements, customizing your solution to comply with fiduciary standards

A FOCUS ON COMPLIANT GROWTH

To retain today's advisors, firms need to support them with the tools required for success. Designing and implementing compensation and incentive plans to reflect best practices in an ever-changing landscape of regulation and emerging fiduciary standards is essential.

Broadridge Advisor Compensation gives you the power to boost sales productivity, reduce costs and help your advisors run their practices better. In addition to a robust advisor compensation system, our solution provides an advisor commission portal and simplifies account opening, reporting, and records administration.

AN INTEGRATED SOLUTION

Broadridge Advisor Compensation offers a comprehensive approach to compensation across asset classes, including held-away assets, facilitating commission-based, asset-based and other innovative and compliant compensation approaches. Our solutions enhance accuracy and precision across a broad range of functions:

- Compensation and Incentive Tools
- Web-based Advisor Workbench
- Account Opening and OSJ Approval
- Books and Records Administration
- Data Management and Reporting

Right-sized for your business, scalable and easy to use, these solutions are supported by a dedicated team of service professionals and consultants.

A BEST-IN-CLASS SOLUTION THAT DELIVERS INSIGHTS FOR MANAGEMENT AND ADVISORS ALIKE.

Compensation and Incentive Tools

Increase your sales productivity while reducing operational costs. Transform complex commission calculations with an intuitive, wizard-based interface that makes it easy to create customized pay grids tailored to your business needs.

- Automated processing and reconciliation of industry feeds
- Straight-through processing via interfaces to payroll and general ledger
- Direct business "check and app" framework
- Data mining tools for free querying of compensation data

Account Opening and OSJ Approval

A dynamic, intelligent interface delivers an exceptional experience for your advisors and support staff. It provides a 360-degree view of each investor's financial portfolio that greatly enhances an advisor's ability to provide personalized, efficient service.

- Easily load, manage and track contacts and convert them to invested clients
- Eliminate data entry omissions and errors
- Dynamically generate account and disclosure forms based on the line of business and transaction type or source of funds
- Flexible workflow and work baskets with heads-up display

Books and Records Administration

Ensure real-time access to comprehensive customer data for client service and compliance. You decide how client account records, including demographic and account suitability information, are collected and maintained. Automated "triggers" create data sets for client communication.

- Direct business 17a-3 compliance tools
- AML interfaces
- NSCC/DTCC networking
- DST FAN Mail® account processing
- DAZL

Web-based Advisor Workbench

Make your advisors more productive with a convenient, comprehensive portal that organizes all of the information they need to manage their book of business.

- Flexible integration options to enterprise or third-party CRM applications through single sign-on
- Delivers sales, commissions, news, alerts, and earnings in a single pane
- Performance charting for revenue and assets under management
- Option to allow staff to do business on advisor's behalf while protecting confidential information

Data Management and Reporting

Combine diverse customer, advisor and firm information into robust data marts to expedite day-to-day management and drive strategic and tactical planning.

- Aggregate data from product providers and clearing houses
- Capture a global view of firm assets, drilling down through carriers, products and clients
- Measure growth in assets and advisory business
- Leverage data scrubbing already done for commissions

Broadridge Advisor Compensation - Basic

An integrated management tool for large RIA's, institutional firms and smaller broker/dealers for which only an 'off the shelf' compensation processing is required.

The basic version of our enterprise solution combines flexibility and scalability with automated processing and standardized reports for brokers and support staff.

- Compensation and Incentives
- Adjustments and Splits
- Licenses and Registrations Check
- Financial and Managerial Reporting
- Automated processing and standardized reports

Expect more from Broadridge

Broadridge Advisor Compensation helps drive business growth by providing a proven suite of integrated enterprise solutions to recruit and retain top producers. Learn more today at broadridge.com/financial-services/wealth-management/wealth/advance-business-management-and-support-services/advisor-compensation.

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